



PATENT  
Customer No. 22,852  
Attorney Docket No. 09140-0030-00000

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
)  
NARASIMHAN et al. ) Group Art Unit: 2811  
)  
Application No.: 10/789,953 ) Examiner: Not Yet Assigned  
)  
Filed: February 26, 2004 )  
) Confirmation No.: 5786  
For: DIELECTRIC BARRIER FILMS )

**Mail Stop AMENDMENTS**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), Applicants bring to the attention of the Examiner the documents listed on the attached Form PTO/SB/08. This Information Disclosure Statement is being filed, to the undersigned's knowledge, before the mailing date of a first Office Action on the merits for the above-referenced application.

These documents include U.S. patents and applications that are possibly related to the pending application by subject matter, as summarized in the chart below. This submission should not be construed, however, as an admission of relatedness.

Attorney Docket Number	U.S. Patent/ Serial No.	U.S./PCT Publication No.	Title	Examiner
09140-0001-00	10/291,179	US 2003/0134054 A1	Low temperature zirconia based thermal barrier layer by PVD	Rodney McDONALD

<b>Attorney Docket Number</b>	<b>U.S. Patent/ Serial No.</b>	<b>U.S./PCT Publication No.</b>	<b>Title</b>	<b>Examiner</b>
09140-0002-01	6,506,289	US 2002/0033330 A1	Planar optical devices and methods for their manufacture	Steven H. VERSTEEG
09140-0004-00	6,533,907	US 2002/0134671 A1	Method of Producing amorphous silicon for hard mask and waveguide applications	Steven H. VERSTEEG
09140-0014-00	09/903,081	US 2003/0063883 A1	As-deposited planar optical waveguides with low scattering loss and methods for their manufacture	John M. HOFFMANN
09140-0016-00	10/101,863	US 2003/0173207 A1	Biased pulse DC reactive sputtering of oxide films	Michelle ESTRADA
09140-0016-01	10/954,182		Biased pulse DC reactive sputtering of oxide films	Not Yet Assigned
09140-0017-00	10/101,341	US 2003/0175142 A1	Rare-earth pre-alloyed PVD targets for dielectric planar applications	Daniel J. JENKINS
09140-0025-00	10/650,461	US 2004/0105644 A1 WO 2004/021532 A1	Optical Coupling into Highly Uniform Waveguides	Frank G. FONT
09140-0030-00 (present application)	10/789,953	WO 2004/077519 A2	Dielectric Barrier Films	Not Yet Assigned
09140-0033-00	10/851,542	US 2004/0259305 A1	Energy Conversion and Storage Devices by Physical Vapor Deposition of Titanium and Titanium Oxides and Sub-Oxides	Lynne Ann GURLEY
09140-0034-00	10/850,968	US 2005/0000794 A1	Transparent Conductive Oxides from a Metallic Target	Not Yet Assigned

Copies of U.S. Patents and U.S. Patent Publications are not provided. Copies of foreign patent documents and non-patent literature documents are included herewith.

U.S. Patent Application No. 10/954,182 (Attorney Docket No. 09140-0016-01) is a continuation of U.S. Patent Application No. 10/101,863 (Attorney Docket No. 09140-0016-00) and has the same specification. Therefore Applicants do not submit another copy of the 182' application.

Applicants submit copies of Office Actions issued by the U.S. Patent and Trademark Office in the above-listed applications and Applicants' responses to these office actions. Applicants also submit International Search Reports and Written Opinions issued in the Patent Cooperation Treaty applications corresponding to the U.S. Patent Applications listed above and PCT publications.

Applicants respectfully request that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and Applicants determine that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any additional fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: January 25, 2005

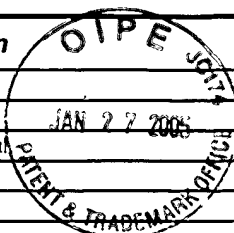
By: \_\_\_\_\_



Gary J. Edwards

Reg. No. 41,008

US Form PTO/SB/08: Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
Sheet		1	of	12	Application Number 10/789,953
					Filing Date February 26, 2004
					First Named Inventor NARASIMHAN et al.
					Art Unit 2811
					Examiner Name Not Yet Assigned
					Attorney Docket Number 09140-0030-00000



U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS					
Examiner Initials	Cite No. <sup>1</sup>	Document Number	Issue or Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US 2001/0027159 A1	Oct. 4, 2001	Kaneyoshi	
		US 2002/0033330 A1	Mar. 21, 2002	Demaray et al.	
		US 2002/0106297 A1	Aug. 8, 2002	Ueno et al.	
		US 2002/0134671 A1	Jul. 17, 2003	Demaray et al.	
		US 2002/0170821 A1	Nov. 21, 2002	Sandlin et al.	
		US 2003/0019326 A1	Jan. 30, 2003	Han et al.	
		US 2003/0022487 A1	Jan. 30, 2003	Yoon et al.	
		US 2003/0042131 A1	Mar. 6, 2003	Johnson	
		US 2003/0063883 A1	Apr. 3, 2003	Demaray et al.	
		US 2003/0077914 A1	Apr. 24, 2003	Le et al.	
		US 2003/0079838 A1	May 1, 2003	Brcka	
		US 2003/0097858 A1	May 29, 2003	Strohhofer et al.	
		US 2003/0127319 A1	Jul. 10, 2003	Demaray et al.	
		US 2003/0134054 A1	Jul. 17, 2003	Demaray et al.	
		US 2003/0141186 A1	Jul. 31, 2003	Wang et al.	
		US 2003/0173207 A1	Sep. 18, 2003	Zhang et al.	
		US 2003/0175142 A1	Sep. 18, 2003	Milonopoulou et al.	
		US 2004/0105644 A1	Jun. 3, 2004	Dawes	
		US 2004/0259305 A1	Dec. 23, 2004	Demaray et al.	
		US 2005/0000749 A1	Jan. 6, 2005	Demaray et al.	
		US 3,616,403	Oct. 26, 1971	Collins et al.	
		US 3,850,604	Nov. 26, 1974	Klein	
		US 4,111,523	Sep. 5, 1978	Kaminow et al.	
		US 4,437,966	Mar. 7, 1961	Hope et al.	
		US 4,619,680	Oct. 28, 1986	Nourshargh et al.	
		US 4,915,810	Apr. 10, 1990	Kestigian et al.	
		US 4,978,437	Dec. 18, 1990	Wirz	
		US 5,085,904	Feb. 4, 1992	Deak et al.	
		US 5,107,538	Apr. 21, 1992	Benton et al.	
		US 5,119,460	Jun. 2, 1992	Bruce et al.	
		US 5,174,876	Dec. 29, 1992	Buchal et al.	

Examiner Signature		Date Considered	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

IDS Form PTO/SB/08: Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	10/789,953
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				Art Unit	2811
				Examiner Name	Not Yet Assigned
Sheet	2	of	12	Attorney Docket Number	09140-0030-00000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS					
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		Number-Kind Code <sup>2</sup> (if known)			
		US 5,196,041	Mar. 23, 1993	Tumminelli et al.	
		US 5,200,029	Apr. 6, 1993	Bruce et al.	
		US 5,206,925	Apr. 27, 1993	Nakazawa et al.	
		US 5,225,288	Jul. 6, 1993	Beeson et al.	
		US 5,237,439	Aug. 17, 1993	Misono et al.	
		US 5,252,194	Oct. 12, 1993	Demaray et al.	
		US 5,287,427	Feb. 15, 1994	Atkins et al.	
		US 5,303,319	Apr. 12, 1994	Ford et al.	
		US 5,306,569	Apr. 26, 1994	Hiraki	
		US 5,355,089	Oct. 11, 1994	Treger	
		US 5,381,262	Jan. 10, 1995	Arima et al.	
		US 5,427,669	Jun. 27, 1995	Drummond	
		US 5,457,569	Oct. 10, 1995	Liou et al.	
		US 5,475,528	Dec. 12, 1995	LaBorde	
		US 5,483,613	Jan. 9, 1996	Bruce et al.	
		US 5,499,207	Mar. 12, 1996	Miki et al.	
		US 5,555,127	Sep. 10, 1996	Abdelkader et al.	
		US 5,563,979	Oct. 8, 1996	Bruce et al.	
		US 5,565,071	Oct. 15, 1996	Demaray et al.	
		US 5,591,520	Jan. 7, 1997	Migliorini et al.	
		US 5,603,816	Feb. 18, 1997	Demaray et al.	
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		US 5,613,995	Mar. 25, 1997	Bhandarkar et al.	
		US 5,654,054	Aug. 5, 1997	Tropsha et al.	
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		US 5,686,360	Nov. 11, 1997	Harvey, III et al.	
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		US 5,693,956	Dec. 2, 1997	Shi et al.	
		US 5,718,813	Feb. 17, 1998	Drummond	
		US 5,719,976	Feb. 17, 1998	Henry et al.	

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			<i>Art Unit</i>	2811	
			<i>Examiner Name</i>	Not Yet Assigned	
<i>Sheet</i>	3	of	12	<i>Attorney Docket Number</i>	09140-0030-00000

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		US 5,731,661	Mar. 24, 1998	So et al.	
		US 5,755,938	May 26, 1998	Fukui et al.	
		US 5,757,126	May 26, 1998	Harvey, III et al.	
		US 5,762,768	Jun. 9, 1998	Goy et al.	
		US 5,771,562	Jun. 30, 1998	Harvey, III et al.	
		US 5,792,550	Aug. 11, 1998	Phillips et al.	
		US 5,811,177	Sep. 22, 1998	Shi et al.	
		US 5,830,330	Nov. 3, 1998	Lantsman	
		US 5,831,262	Nov. 3, 1998	Greywall et al.	
		US 5,841,931	Nov. 24, 1998	Foresi et al.	
		US 5,847,865	Dec. 8, 1998	Gopinath et al.	
		US 5,849,163	Dec. 15, 1998	Ichikawa et al.	
		US 5,853,830	Dec. 29, 1998	McCaulley et al.	
		US 5,855,744	Jan. 5, 1999	Halsey et al.	
		US 5,870,273	Feb. 9, 1999	Sogabe et al.	
		US 5,882,946	Mar. 16, 1999	Otani	
		US 5,900,057	May. 4, 1999	Buchal et al.	
		US 5,930,584	Jul. 27, 1999	Sun et al.	
		US 5,942,089	Aug. 24, 1999	Sproul et al.	
		US 5,948,215	Sep. 7, 1999	Lantsman	
		US 5,952,778	Sep. 14, 1999	Haskal et al.	
		US 5,961,682	Oct. 5, 1999	Lee et al.	
		US 5,966,491	Oct. 12, 1999	DiGiovanni	
		US 5,977,582	Nov. 2, 1999	Fleming et al.	
		US 6,001,224	Dec. 14, 1999	Drummond	
		US 6,004,660	Dec. 21, 1999	Topolski et al.	
		US 6,024,844	Feb. 15, 2000	Drummond et al.	
		US 6,046,081	Apr. 4, 2000	Kuo	
		US 6,051,114	Apr. 18, 2000	Yao et al.	
		US 6,051,296	Apr. 18, 2000	McCaulley et al.	
		US 6,052,397	Apr. 18, 2000	Jeon et al.	

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		Number-Kind Code <sup>2</sup> (if known)			
		US 6,057,557	May 2, 2000	Ichikawa	
		US 6,058,233	May 2, 2000	Dragone	
		US 6,071,323	Jun. 6, 2000	Kawaguchi	
		US 6,077,642	Jun. 20, 2000	Ogata et al.	
		US 6,080,643	Jun. 27, 2000	Noguchi et al.	
		US 6,093,944	Jul. 25, 2000	VanDover	
		US 6,106,933	Aug. 22, 2000	Nagai et al.	
		US 6,146,225	Nov. 14, 2000	Sheats et al.	
		US 6,157,765	Dec. 5, 2000	Bruce et al.	
		US 6,162,709	Dec. 19, 2000	Raux et al.	
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		US 6,176,986 B1	Jan. 23, 2001	Watanabe et al.	
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		US 6,204,111 B1	Mar. 20, 2001	Uemoto et al.	
		US 6,210,544 B1	Apr. 3, 2001	Sasaki	
		US 6,214,660 B1	Apr. 10, 2001	Uemoto et al.	
		US 6,248,291 B1	Jun. 19, 2001	Nakagama et al.	
		US 6,248,640 B1	Jun. 19, 2001	Nam	
		US 6,261,917 B1	Jul. 17, 2001	Quek et al.	
		US 6,280,585 B1	Aug. 28, 2001	Obinata et al.	
		US 6,287,986 B1	Sep. 11, 2001	Mihara	
		US 6,290,822 B1	Sep. 18, 2001	Fleming et al.	
		US 6,300,215 B1	Oct. 9, 2001	Shin	
		US 6,302,939 B1	Oct. 16, 2001	Rabin et al.	
		US 6,344,419 B1	Feb. 5, 2002	Forster et al.	
		US 6,350,353 B2	Feb. 26, 2002	Gopalraja et al.	
		US 6,358,810 B1	Mar. 19, 2002	Dornfest et al.	
		US 6,365,319 B1	Apr. 2, 2002	Heath et al.	
		US 6,409,965 B1	Jun. 25, 2002	Nagate et al.	
		US 6,413,382 B1	Jul. 2, 2002	Wang et al.	
Examiner Signature				Date Considered	

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Sheet	5	of	12	Attorney Docket Number	09140-0030-00000

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		Number-Kind Code <sup>2</sup> (if known)			
		US 6,413,645 B1	Jul. 2, 2002	Graff et al.	
		US 6,416,598 B1	Jul. 9, 2002	Sircar	
		US 6,423,776 B1	Jul. 23, 2002	Akkapeddi et al.	
		US 6,444,750 B1	Sep. 3, 2002	Touhsaent	
		US 6,488,822 B1	Dec. 3, 2002	Moslehi	
		US 6,506,289 B1	Jan. 14, 2003	Demaray et al.	
		US 6,511,615 B1	Jan. 28, 2003	Dawes et al.	
		US 6,533,907 B1	Mar. 18, 2003	Demaray et al.	
		US 6,537,428 B1	Mar. 25, 2003	Xiong et al.	
		US 6,563,998 B1	May 13, 2003	Farah et al.	
		US 6,576,546 B2	Jun. 10, 2003	Gilbert et al.	
		US 6,602,338 B2	Aug. 5, 2003	Chen et al.	
		US 6,605,228 B1	Aug. 12, 2003	Kawaguchi et al.	
		US 6,615,614 B1	Sep. 9, 2003	Makikawa et al.	

**Note: Copies of the U.S. Patent Documents are not Required in IDS filed after October 21, 2004**

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		EP 0 510 883 A2	10/28/1992	AT&T		
		EP 0 820 088 A2	01/21/1998	Applied Komatsu Technology, Inc.		
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		EP 1 189 080 A2	03/20/2002	Agere Systems Optoelectronics Guardian Corporation		
		JP 02-054765 A2	02/23/1990	Leybold AG		Abstract
		JP 6-010127 A	01/18/1994	Ulvac Japan Ltd		Abstract
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		WO 96/23085 A1	08/01/1996	Applied Komatsu Technology, Inc.		

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Sheet	6	of	12	Attorney Docket Number	09140-0030-00000

FOREIGN PATENT DOCUMENTS					
		WO 97/35044 A1	09/25/1997	Material Research Corporation	
		WO 00/21898 A1	04/01/2000	Samsung Electronics Co., Ltd.	
		WO 00/22742 A2	04/01/2000	Fiver Laboratories	
		WO 00/36665 A1	06/22/2000	Battelle Memorial Institute	
		WO 02/12932 A2	02/14/2002	Symmorphix, Inc.	
		WO 2004/021532 A1	Mar. 11, 2004	Symmorphix, Inc.	
		WO 2004/077519 A2	Sep. 10, 2004	Narasimhan et al.	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Translation <sup>6</sup>
		AFFINITO et al., "PML/oxide/PML Barrier Layer Performance Differences Arising from Use of UV or Electron Beam Polymerization of the PML Layers," <i>Thin Solid Films</i> , Vol. 308-309, pp. 19-25 (1997).	
		AFFINITO et al., "Polymer-Oxide Transparent Barrier Layers," Society of Vacuum Coaters, 39th Ann. Technical Conference Proceedings, Philadelphia, PA, pp. 392-397, (May 5, 1996).	
		ALDER, T. et al., "High-Efficiency Fiber-to-Chip Coupling Using Low-Loss Tapered Single-Mode Fiber," <i>IEEE Photonics Technology Letters</i> , 12(8):1016-1018 (2000).	
		ALMEIDA, Vilson R. et al., "Nanotaper for compact mode conversion," <i>Optics Letters</i> , 28(15):1302-1304 (2003).	
		ASGHARI et al., "ASOC--A Manufacturing Integrated Optics Technology," Part of the SPIE Conference on Integrated Optics Devices III, vol. 3620, pp. 252-262 (Jan. 1999).	
		BARBIER et al, "Amplifying Four-Wavelength Combiner, Based on Erbium/Etterbium-Doped Waveguide Amplifiers and Integrated Splitters", <i>IEEE PHOTONICS TECHNOLOGY LETTTERS</i> , Vol.9, pp 315-317, 1997, 4 pages	
		BARBIER, Denis, "Performances and potential applications of erbium doped planar waveguide amplifiers and lasers," <i>GeeO</i> , pp. 58-6 (date unknown).	
		BEACH R.J., "Theory and optimization of lens ducts," <i>Applied Optics</i> , 35:12:2005-15 (1996)	
		BELKIND et al., "Using pulsed direct current power for reactive sputtering of Al <sub>2</sub> O <sub>3</sub> ," <i>J. Vac. Sci. Technol. A</i> 17(4), pp. 1934-40 (Jul. 1999)	
		BESTWICK, T., "ASOC silicon integrated optics technology," Part of the SPIE Conferences on Photonics Packaging and Integration, SPIE vol. 3631, pp. 182-190 (Jan. 1999).	
		BORSELLA et al., "Structural incorporation of silver insoda-lime glass by the ion-exchange process: a photoluminescence spectroscopy study", <i>Applied Physics A</i> 71, pp. 125-132 (2000)	
		BYER et al., "Nonlinear Optics and Solid-state Lasers," <i>IEEE Journal on Selected Topics in Quantum Electronics</i> , Vol. 6, No. 6, pp. 921-929 (Nov. 2000).	
		CAMPBELL et al., "Titanium dioxide (TiO <sub>2</sub> )-based gate insulators," <i>IBM J. Res. Develop.</i> 43(3), 383-391, (May 1999).	
		CHANG, C.Y. (edited by), "ULSI Technology," The McGraw-Hill Companies, Inc., New York, Chapter 4, pp. 169-170, 226-231 (1996)	
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		HORST et al., "Compact, Tunable Optical Devices in Silicon-Oxynitride Wave Guide Technology," IBM Research Division, 3 pages (1999).		
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		LAPORTA et al, "Diode-pumped cw bulk Er: Yb: glass laser", 1952 Optics Letters/Vol. 16, No. 24/Dec. 15, 6 pages (1991).		
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		PETERS et al., "Formation mechanism of silver nanocrystals made by ion irradiation of Na <sup>+</sup> --Ag <sup>+</sup> ion-exchanged sodalime silicate glass", Nuclear Instruments and Methods in Physics Research B 168, pp. 237-244 (2000).	
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		Office Action issued on November 28, 2001 in U.S. Patent No. 6,506,289 (Attorney Docket No. 09140-0002-01).		
		Response to Office Action filed on February 20, 2002 in U.S. Patent No. 6,506,289 (Attorney Docket No. 09140-0002-01).		
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		Response to Office Action filed on September 3, 2002 in U.S. Patent No. 6,533,907 (Attorney Docket No. 09140-0004-00).		
		Office Action issued on February 12, 2004 in U.S. Serial No. 09/903,081 (Attorney Docket No. 09140-0014-00).		
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		Response to Office Action filed on December 08, 2004 in U.S. Serial No. 10/101,341 (Attorney Docket No. 09140-0017-00).	
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